



PTO/SB/82 (05-03)

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## REVOCATION OF POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	09/750,417
Filing Date	December 27, 2000
First Named Inventor	Stuart J. CLENAGHAN, et al.
Art Unit	2164
Examiner Name	
Attorney Docket Number	74577-052

I hereby revoke all previous powers of attorney or authorizations of agent given in the above-identified application:

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Applicant/Inventor.

Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

### SIGNATURE of Applicant or Assignee of Record

Name	Gregg I. Goldman, Director and Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch		
Signature			
Date	6-20-03	Telephone	203.719.3099

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.



\*Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.36. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/96 (04-03)

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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Stuart J. CLENAGHAN, et al.Application No./Patent No.: 09/750,417 Filed/Issue Date: December 27, 2000Entitled: METHOD AND APPARATUS FOR SELLING FINANCIAL INSTRUMENTSUBS AG, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1.  the assignee of the entire right, title, and interest; or2.  an assignee of less than the entire right, title and interest.The extent (by percentage) of its ownership interest is \_\_\_\_\_ %  
in the patent application/patent identified above by virtue of either:A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded  
in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.**OR**B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown  
below:Stuart J. CLENAGHAN, et al. UBS AG

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Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached. Additional documents in the chain of title are listed on a supplemental sheet. Copies of assignments or other documents in the chain of title are attached.[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document)  
must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be  
recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

6-20-03Gregg I. Goldman

Date

Typed or printed name

203.719.3099

Telephone number

Signature

Director and Counsel

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/81 (05-03)  
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## POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

Application Number	09/750,417
Filing Date	December 27, 2000
First Named Inventor	Stuart J. CLENAGHAN, et al.
Title	METHOD AND APPARATUS FOR...
Art Unit	2164
Examiner Name	
Attorney Docket Number	74577-052

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Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

### SIGNATURE of Applicant or Assignee of Record

Name **Gregg I. Goldman, Director and Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch**

Signature

Date **6-20-03**

Telephone **203.719.3099**

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.



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This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



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030  
121b<sup>3</sup>

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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	09/750,417
		Filing Date	December 27, 2000
		First Named Inventor	Stuart J. CLENAGHAN, et al.
		Art Unit	2164
		Examiner Name	
Total Number of Pages in This Submission		Attorney Docket Number	74577-052

### ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s) ( Sheets)	<input type="checkbox"/> After Allowance communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<b>RECEIVED</b>
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Status Letter
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> JULY 07 2003
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> Statement under 37 CFR 3.73 (b), Revocation of Power of Attorney, Return postcard
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	John C. Stellabotte, Reg. No. 47,969
Signature	<i>John C. Stellabotte</i>
Date	June 24, 2003

### CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Juan C. Arias		
Signature	<i>Juan C. Arias</i>	Date	June 24, 2003

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Attorney Docket No. 74577-052

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Stuart J. CLENAGHAN, et al.  
Filing Date : December 27, 2000  
Serial No. : 09/750,417  
Title: METHOD AND APPARATUS FOR  
SELLING FINANCIAL INSTRUMENTS

STATUS  
REQUEST

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*John C. Stellabotte*

June 24, 2003

Sir:

Applicant(s) respectfully request to be informed of the status of the above-identified patent application. In particular, please provide the undersigned attorney with the name of the Examiner. Also, please provide a projected examination date for this application.

Thank you for your assistance in this matter.

Respectfully submitted,  
PROSKAUER ROSE LLP  
Attorneys for Applicant(s)

By *John C. Stellabotte*  
John C. Stellabotte  
Reg. No. 47,969

Date: June 24, 2003

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